

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 35646-175183  |
| First Inventor         | Rob R. MONTGOMERY   |
| Title                  | BUYER-SIDE AUCTION DYNAMIC PRICING AGENT, SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT |
| Express Mail Label No. |   |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 38]
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
5. Oath or Declaration [Total Pages ] 
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6.  Application Data Sheet. See 37 CFR 1.76
- 6a.  Priority is claimed under the provisions of 35 U.S.C. § 119  
Appln No. 60/235,548 filed in United States on Sept. 27, 2000  
Appln No. \_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. § 3.73(b) Statement  Power of (when there is an assignee) Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: \_\_\_\_\_ 18.  Other: \_\_\_\_\_

19. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 20. CORRESPONDENCE ADDRESS

or  Correspondence address below Customer Number or Bar Code Label

PATENT TRADEMARK OFFICE

|         |                |           |              |          |              |
|---------|----------------|-----------|--------------|----------|--------------|
| Name    | VENABLE        |           |              |          |              |
| Address | P.O. Box 34385 |           |              |          |              |
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| Country | U.S.A          | Telephone | 202-962-4800 | Fax      | 202-962-8300 |

|                   |                   |                                   |                    |
|-------------------|-------------------|-----------------------------------|--------------------|
| Name (Print/Type) | RALPH P. ALBRECHT | Registration No. (Attorney/Agent) | 43,466             |
| Signature         |                   |                                   | Date               |
|                   |                   |                                   | September 27, 2001 |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 475)

| Complete if Known    |                                |
|----------------------|--------------------------------|
| Application Number   | (Unassigned - New Application) |
| Filing Date          | September 27, 2001             |
| First Named Inventor | Rob R. MONTGOMERY              |
| Examiner Name        | (Unassigned - New Application) |
| Group / Art Unit     | (Unassigned)                   |
| Attorney Docket No.  | 35646-175183                   |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to.

Deposit Account Number 22-0261

Deposit Account Name VENABLE

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status  
See 37 CFR 1.27

2.  Payment Enclosed.

Check  Credit card  Money Order  Other Order

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity Fee Code | Fee (\$) | Small Entity Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|----------|-----------------------|----------|------------------------|----------|
| 101                   | 710      | 201                   | 355      | Utility filing fee     | 355      |
| 106                   | 320      | 206                   | 160      | Design filing fee      |          |
| 107                   | 490      | 207                   | 245      | Plant filing fee       |          |
| 108                   | 710      | 208                   | 355      | Reissue filing fee     |          |
| 114                   | 150      | 214                   | 75       | Provisional filing fee |          |

## SUBTOTAL (1) (\$ 355)

## 2. EXTRA CLAIM FEES

| Total Claims | Independent Claims | Multiple Dependent | Extra Claims | Fee from below | Fee Paid   |
|--------------|--------------------|--------------------|--------------|----------------|------------|
|              |                    |                    |              |                |            |
| 17           | 6                  |                    | -20          | = 0            | X 9 = 0    |
|              |                    |                    | -3           | = 3            | X 40 = 120 |
|              |                    |                    |              |                | X 0 = 0    |

| Large Entity Fee Code | Fee (\$) | Small Entity Fee Code | Fee (\$) | Fee Description  |
|-----------------------|----------|-----------------------|----------|--|
| 103                   | 18       | 203                   | 9        | Claims in excess of 20                                     |
| 102                   | 80       | 202                   | 40       | Independent claims in excess of 3                          |
| 104                   | 270      | 204                   | 135      | Multiple dependent claim, if not paid                      |
| 109                   | 80       | 209                   | 40       | ** Reissue independent claims over original patent         |
| 110                   | 18       | 210                   | 9        | ** Reissue claims in excess of 20 and over original patent |

## SUBTOTAL (2) (\$ 120)

## FEE CALCULATION (continued)

| 3. ADDITIONAL FEES        |                       |                       |          |  |          |
|---------------------------|-----------------------|-----------------------|----------|--|----------|
| Fee Code                  | Large Entity Fee (\$) | Small Entity Fee Code | Fee (\$) | Fee Description  | Fee Paid |
| 105                       | 130                   | 205                   | 65       | Surcharge - late filing fee or oath  |          |
| 127                       | 50                    | 227                   | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                       | 130                   | 139                   | 130      | Non-English specification  |          |
| 147                       | 2,520                 | 147                   | 2,520    | For filing a request for reexamination                                     |          |
| 112                       | 920*                  | 112                   | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                       | 1,840*                | 113                   | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                       | 110                   | 215                   | 55       | Extension for reply within first month                                     |          |
| 116                       | 390                   | 216                   | 195      | Extension for reply within second month                                    |          |
| 117                       | 890                   | 217                   | 445      | Extension for reply within third month                                     |          |
| 118                       | 1,390                 | 218                   | 695      | Extension for reply within fourth month                                    |          |
| 128                       | 1,890                 | 228                   | 945      | Extension for reply within fifth month                                     |          |
| 119                       | 310                   | 219                   | 155      | Notice of Appeal   |          |
| 120                       | 310                   | 220                   | 155      | Filing a brief in support of an appeal                                     |          |
| 121                       | 270                   | 221                   | 135      | Request for oral hearing   |          |
| 138                       | 1,510                 | 138                   | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                       | 110                   | 240                   | 55       | Petition to revive – unavoidable   |          |
| 141                       | 1,240                 | 241                   | 620      | Petition to revive – unintentional   |          |
| 142                       | 1,240                 | 242                   | 620      | Utility issue fee (or reissue)   |          |
| 143                       | 440                   | 243                   | 220      | Design issue fee   |          |
| 144                       | 600                   | 244                   | 300      | Plant issue fee  |          |
| 122                       | 130                   | 122                   | 130      | Petitions to the Commissioner  |          |
| 123                       | 130                   | 123                   | 130      | Petitions related to provisional applications                              |          |
| 126                       | 180                   | 126                   | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                       | 40                    | 581                   | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                       | 710                   | 246                   | 355      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                       | 710                   | 249                   | 355      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                       | 710                   | 279                   | 355      | Request for Continued Examination (RCE)                                    |          |
| 169                       | 900                   | 169                   | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) _____ |                       |                       |          |  |          |

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

| SUBMITTED BY      |   |                                  |        |                    |                |
|-------------------|---|----------------------------------|--------|--------------------|----------------|
| Name (Print/Type) | RALPH P. ALBRECHT   | Registration No. Attorney/Agent) | 43,466 | Telephone          | (202) 216 8166 |
| Signature         |  |                                  | Date   | September 27, 2001 |                |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.